

UNITED STATES DISTRICT COURT
SOUTHERN DISTRICT OF NEW YORK

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STONEX GROUP INC. and STONEX	:	
FINANCIAL INC.,	:	Case No. 23-CV-613 (JGK)
	:	
Plaintiffs,	:	
	:	
v.	:	
	:	
HOWARD SHIPMAN,	:	
	:	
Defendant.	:	
-----X		

**SUPPLEMENTAL SUBMISSION RESPONDING
TO THE COURT’S QUESTIONS AT ORAL ARGUMENT**

Defendant, Howard Shipman, respectfully provides this Supplemental Submission in further response to the Court’s questions at oral argument on January 18, 2023. The Court asked questions regarding the FINRA Form U5.

FINRA is the Financial Industry Regulatory Authority, and their Form U5 is the Uniform Termination Notice for Securities Industry Registration.

On January 6, 2023, Plaintiffs submitted a FINRA Form U5 (Exhibit 1) to their regulator, FINRA, after they fired me in retaliation for whistleblowing.

On the Form, under Section 3:

Question: If the Reason for Termination entered above is Permitted to Resign, Discharged or Other, provide an explanation below:

Answer: Unprofessional interactions with leadership and team

Further in the Form, under Section 7B “Internal Review Disclosure”:

Question: Currently is, or at termination was, the individual under internal review for fraud or ***wrongful taking of property***, or violating investment-related statutes, regulations, rules or industry standards of conduct? (emphasis added).

Answer: No

Further in the Form, under Section 8:

A “Signature” includes a manual signature or an electronically transmitted equivalent. For purposes of an electronic form filing, a signature is effected by typing a name in the designated signature field. By typing a name in this field, the signatory acknowledges and represents that the entry constitutes in every way, use, or aspect, his or her legally binding signature.

Further in the Form, under 8A:

I VERIFY THE ACCURACY AND COMPLETENESS OF THE
INFORMATION CONTAINED IN AND WITH THIS FORM.

The Form is signed by Plaintiff.

Plaintiffs are abusing the Court’s time and resources. They are attempting to create a smokescreen to hide their many violations and crimes against their rival competitor, BTIG. Plaintiffs are the subject of a \$1billion complaint filed by BTIG, and plaintiffs are also the subject of a current SEC Investigation.

I thank the Court for its consideration.

Respectfully submitted,

/s/ Howard Shipman
15 Tudor Ln.
Trumbull, CT 06611
(203)536-9534
jovejava@yahoo.com

Trumbull, CT
January 29, 2024

EXHIBIT A

STONEX FINANCIAL INC.(45993)

Rev. Form U5 (05/2009)

Individual Name: Shipman, Howard (1993114)

U5 Full - Filing ID: 60568434

Filing Date: 01/06/2023

NOTICE TO THE INDIVIDUAL WHO IS THE SUBJECT OF THIS FILING

Even if you are no longer registered you continue to be subject to the jurisdiction of regulators for at least two years after your registration is terminated and may have to provide information about your activities while associated with this firm. Therefore, you must forward any residential address changes for two years following your termination date or last Form U5 amendment to: CRD Address Changes, P.O. Box 9495, Gaithersburg, MD 20898-9495.

1. General Information

First Name:	Middle Name:	Last Name:	Suffix:
Howard		Shipman	
Firm CRD #:	Firm Name:	Firm NFA #:	
45993	STONEX FINANCIAL INC.		
Individual CRD #:	Individual SSN:	Individual NFA #:	Firm Billing Code:
1993114	xxx-xx-xxxx		TRA

Office of Employment Address:

CRD Branch #	NYSE Branch Code #	Firm Billing Code	Address	Private Residence	Type of Office	Start Date	End Date
295508			329 PARK AVENUE NORTH SUITE 350 WINTER PARK, FL 32789 United States	No	Supervised From	02/08/2021	09/21/2022
708548			850 Canal Street 3rd Floor Stamford, CT 06902 United States	No	Located At	02/08/2021	12/09/2022
609044			230 South LaSalle Ste. 10-500 Chicago, IL 60604 United States	No	Supervised From	09/21/2022	12/09/2022

2. Current Residential Address

From	To	Street Address
05/2014	PRESENT	15 TUDOR LN TRUMBULL, CT 06611 United States

3. Full TerminationIs this a **FULL TERMINATION?** ☒ Yes ☐ NoNote: A "Yes" response will terminate ALL registrations with all SROs and all *jurisdictions*.**Reason for Termination:** Discharged

Termination Explanation:

If the Reason for Termination entered above is Permitted to Resign, Discharged or Other, provide an explanation below:

Unprofessional interactions with leadership and team

4. Date of Termination

Date Terminated (MM/DD/YYYY): 12/09/2022

A complete date of termination is required for *full termination*. This date represents the date the *firm* terminated the individual's association with the *firm* in a capacity for which registration is required.

For *partial termination*, the date of termination is only applicable to post-dated termination requests during the renewal period.

Notes: For *full termination*, this date is used by *jurisdictions*/SROs to determine whether an individual is required to requalify by examination or obtain an appropriate waiver upon reassociating with another *firm*.

The *SRO/jurisdiction* determines the effective date of termination of registration.

6. Affiliated Firm Termination

No Information Filed.

7. Disclosure Questions

IF THE ANSWER TO ANY OF THE FOLLOWING QUESTIONS IN SECTION 7 IS 'YES', COMPLETE DETAILS OF ALL EVENTS OR PROCEEDINGS ON APPROPRIATE DRP(S). IF THE INFORMATION IN SECTION 7 HAS ALREADY BEEN REPORTED ON FORM U4 OR FORM U5, DO NOT RESUBMIT DRPs FOR THESE ITEMS. REFER TO THE EXPLANATION OF TERMS SECTION OF FORM U5 INSTRUCTIONS FOR EXPLANATION OF ITALICIZED WORDS.

Disclosure Certification Checkbox (optional): ☒

By selecting the Disclosure Certification Checkbox, the *firm* certifies that (1) there is no additional information to be reported at this time; (2) details relating to Questions 7A, 7C, 7D and 7E have been previously reported on behalf of the individual via Form U4 and/or amendments to Form U4 (if applicable); and (3) updated information will be provided, if needed, as it becomes available to the *firm*. Note: Use of "Disclosure Certification Checkbox" is optional

Investigation Disclosure

Yes No

7A. Currently is, or at termination was, the individual the subject of an *investigation* or *proceeding* by a domestic or foreign governmental body or *self-regulatory organization* with jurisdiction over *investment-related* businesses? (Note: Provide details of an *investigation* on an Investigation Disclosure Reporting Page and details regarding a *proceeding* on a Regulatory Action Disclosure Reporting Page.)

☐ ☐

Internal Review Disclosure

- | | Yes | No |
|--|-----------------------|----------------------------------|
| 7B. Currently is, or at termination was, the individual under internal review for fraud or wrongful taking of property, or violating <i>investment-related</i> statutes, regulations, rules or industry standards of conduct? | <input type="radio"/> | <input checked="" type="radio"/> |

Criminal Disclosure

- | | Yes | No |
|---|-----------------------|-----------------------|
| 7C. While employed by or associated with your <i>firm</i> , or in connection with events that occurred while the individual was employed by or associated with your <i>firm</i> , was the individual: | | |
| 1. convicted of or did the individual plead guilty or nolo contendere ("no contest") in a domestic, foreign or military court to any <i>felony</i> ? | <input type="radio"/> | <input type="radio"/> |
| 2. charged with any <i>felony</i> ? | <input type="radio"/> | <input type="radio"/> |
| 3. convicted of or did the individual plead guilty or nolo contendere ("no contest") in a domestic, foreign or military court to a <i>misdemeanor involving</i> : investments or an <i>investment-related</i> business, or any fraud, false statements or omissions, wrongful taking of property, bribery, perjury, forgery, counterfeiting, extortion, or a conspiracy to commit any of these offenses? | <input type="radio"/> | <input type="radio"/> |
| 4. charged with a <i>misdemeanor</i> specified in 7(C)(3)? | <input type="radio"/> | <input type="radio"/> |

Regulatory Action Disclosure

- | | Yes | No |
|--|-----------------------|-----------------------|
| 7D. While employed by or associated with your <i>firm</i> , or in connection with events that occurred while the individual was employed by or associated with your <i>firm</i> , was the individual <i>involved</i> in any <i>disciplinary action</i> by a domestic or foreign governmental body or <i>self-regulatory organization</i> (other than those designated as a " <i>minor rule violation</i> " under a plan approved by the U.S. Securities and Exchange Commission) with jurisdiction over the <i>investment-related</i> businesses? | <input type="radio"/> | <input type="radio"/> |

Customer Complaint/Arbitration/Civil Litigation Disclosure

- | | Yes | No |
|---|-----------------------|-----------------------|
| 7E. 1. In connection with events that occurred while the individual was employed by or associated with your <i>firm</i> , was the individual named as a respondent/defendant in an <i>investment-related</i> , consumer-initiated arbitration or civil litigation which alleged that the individual was <i>involved</i> in one or more <i>sales practice violations</i> and which: | | |
| (a) is still pending, or; | <input type="radio"/> | <input type="radio"/> |
| (b) resulted in an arbitration award or civil judgment against the individual, regardless of amount, or; | <input type="radio"/> | <input type="radio"/> |
| (c) was settled, prior to 05/18/2009, for an amount of \$10,000 or more, or; | <input type="radio"/> | <input type="radio"/> |
| (d) was settled, on or after 05/18/2009, for an amount of \$15,000 or more? | <input type="radio"/> | <input type="radio"/> |
| 2. In connection with events that occurred while the individual was employed by or associated with your <i>firm</i> , was the individual the subject of an <i>investment-related</i> , consumer-initiated (written or oral) complaint, which alleged that the individual was <i>involved</i> in one or more <i>sales practice violations</i> , and which | | |
| (a) was settled, prior to 05/18/2009, for an amount of \$10,000 or more, or; | <input type="radio"/> | <input type="radio"/> |
| (b) was settled, on or after 05/18/2009, for an amount of \$15,000 or more? | <input type="radio"/> | <input type="radio"/> |
| 3. In connection with events that occurred while the individual was employed by or associated with your <i>firm</i> , was the individual the subject of an <i>investment-related</i> , consumer-initiated, written complaint, not otherwise reported under questions 7(E)(2) above, which: | | |

- (a) would be reportable under question 14I(3)(a) on Form U4, if the individual were still employed by your *firm*, but which has not previously been reported on the individual's Form U4 by your *firm*; or ☐ ☐
- (b) would be reportable under question 14I(3)(b) on Form U4, if the individual were still employed by your *firm*, but which has not previously been reported on the individual's Form U4 by your *firm*. ☐ ☐

Answer questions (4) and (5) below only for arbitration claims or civil litigation filed on or after 05/18/2009

4. In connection with events that occurred while the individual was employed by or associated with your *firm*, was the individual the subject of an *investment-related*, consumer-initiated, arbitration claim or civil litigation which alleged that the individual was *involved* in one or more *sales practice violations*, and which:
- (a) was settled for an amount of \$15,000 or more, or; ☐ ☐
- (b) resulted in an arbitration award of civil judgment against any named respondent(s)/defendant(s), regardless of amount? ☐ ☐
5. In connection with events that occurred while the individual was employed by or associated with your *firm*, was the individual the subject of an investment-related, consumer-initiated, arbitration claim or civil litigation not otherwise reported under question 7E(4) above, which:
- (a) would be reportable under question 14I(5)(a) on Form U4, if the individual were still employed by your *firm*, but which has not previously been reported on the individual's Form U4 by your *firm*; or ☐ ☐
- (b) would be reportable under question 14I(5)(b) on Form U4, if the individual were still employed by your *firm*, but which has not previously been reported on the individual's Form U4 by your *firm*. ☐ ☐

Termination Disclosure

- | | Yes | No |
|--|-----------------------|----------------------------------|
| 7F. Did the individual voluntarily <i>resign</i> from your <i>firm</i> , or was the individual discharged or permitted to <i>resign</i> from your <i>firm</i> , after allegations were made that accused the individual of: | | |
| 1. violating <i>investment-related</i> statutes, regulations, rules or industry standards of conduct? | <input type="radio"/> | <input checked="" type="radio"/> |
| 2. fraud or the wrongful taking of property? | <input type="radio"/> | <input checked="" type="radio"/> |
| 3. failure to supervise in connection with <i>investment-related</i> statutes, regulations, rules or industry standards of conduct? | <input type="radio"/> | <input checked="" type="radio"/> |

8. Signature

Please Read Carefully

All signatures required on this Form U5 filing must be made in this section.

A "Signature" includes a manual signature or an electronically transmitted equivalent. For purposes of an electronic form filing, a signature is effected by typing a name in the designated signature field. By typing a name in this field, the signatory acknowledges and represents that the entry constitutes in every way, use, or aspect, his or her legally binding signature.

8A. FIRM ACKNOWLEDGMENT

This section must be completed on all U5 form filings submitted by the *firm*.

8B. INDIVIDUAL ACKNOWLEDGMENT AND CONSENT

This section must be completed on amendment U5 form filings where the individual is submitting changes to Part II of the INTERNAL REVIEW DRP or changes to Section 2 (CURRENT RESIDENTIAL ADDRESS).

8A. FIRM ACKNOWLEDGMENT

I VERIFY THE ACCURACY AND COMPLETENESS OF THE INFORMATION CONTAINED IN AND WITH THIS FORM.

Person to contact for further information

Gigi Szekely

Telephone # of person to contact

407-741-5372

Signature of Appropriate Signatory

Kirsten K. Bullock

Date (MM/DD/YYYY)

01/06/2023

Signature _____

Criminal DRP

No Information Filed

Customer Complaint DRP

No Information Filed

Internal Review DRP

No Information Filed

Investigation DRP

No Information Filed

Regulatory Action DRP

No Information Filed

Termination DRP

No Information Filed